

**COMBINED DECLARATION FOR PATENT APPLICATION AND POWER OF ATTORNEY**  
(Includes Reference to PCT International Applications)

ATTORNEY'S DOCKET NUMBER  
6/60192 (6-11405-  
675/676)

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**CHIMERIC ANTIBODY FUSION PROTEINS FOR THE RECRUITMENT AND STIMULATION OF AN ANTITUMOR IMMUNE RESPONSE**

the specification of which (check only one item below):

☐ is attached hereto.

☒ was filed as United States application Serial No. 09/016,743 on January 30, 1998 and was amended under PCT Article 19 on \_\_\_\_\_ (if applicable).

☐ was filed as PCT international application Number \_\_\_\_\_ on \_\_\_\_\_ and was amended under PCT Article 19 on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specifications, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, § 1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, § 119 of any foreign application(s) for patent or inventor's certificate or of any PCT international application(s) designating at least one country other than the United States listed below and have also identified below any foreign application(s) for patent or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America filed by me on the same subject matter having a filing date before that of the application(s) of which priority is claimed:

**PRIOR FOREIGN/PCT APPLICATION(S) AND ANY PRIORITY CLAIMS UNDER 35 U.S.C. 119:**

COUNTRY (IF PCT, indicate "PCT")	APPLICATION NUMBER	DATE OF FILING (day, month, year)	PRIORITY CLAIMED UNDER 35 USC 119
United States	60/037,256	31, Jan. 1997	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
United States	60/064,018	03, Nov. 1997	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) or PCT international application(s) designating the United States of America that is/are listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in that/those prior application(s) in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior application(s) and the national or PCT International filing date of this application:

**PRIOR U.S. APPLICATIONS OR PCT INTERNATIONAL APPLICATIONS DESIGNATING THE U.S. FOR BENEFIT UNDER 35 U.S.C. 120:**

U.S. APPLICATIONS		STATUS (Check One)			
U.S. APPLICATION NUMBER	U.S. FILING DATE	PATENTED	PENDING	ABANDONED	
PCT APPLICATIONS DESIGNATING THE U.S.					
PCT APPLICATION NO.	PCT FILING DATE	U.S. SERIAL NUMBERS ASSIGNED (if any)			

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COMBINED DECLARATION FOR PATENT APPLICATION  
AND POWER OF ATTORNEY (Continue)

ATTORNEY'S DOCKET NUMBER  
176/60192 (6-11405-675/676)

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. (List name and registration number)

Michael L. Goldman, Reg. No. 30,727; Dennis M. Connolly, Reg. No. 40,964;  
Peter Rogalskyj, Reg. No. 38,601

Send Correspondence to: Michael L. Goldman, Esq.  
Nixon, Hargrave, Devans & Doyle LLP  
Clinton Square, P. O. Box 1051  
Rochester, New York 14603

Direct Telephone Calls to:  
(name and telephone number)  
Michael L. Goldman  
(716) 263-1304

201	FULL NAME OF INVENTOR	FAMILY NAME Rosenblatt	FIRST GIVEN NAME Joseph	SECOND GIVEN NAME D.
	RESIDENCE & CITIZENSHIP	CITY Rochester	STATE/FOREIGN COUNTRY New York	COUNTRY OF CITIZENSHIP United States
	POST OFFICE ADDRESS	P.O. ADDRESS 88 Southern Parkway	CITY Rochester	STATE & ZIP CODE/CTRY New York 14618/USA
202	FULL NAME OF INVENTOR	FAMILY NAME Challita-Eid	FIRST GIVEN NAME Pia	SECOND GIVEN NAME
	RESIDENCE & CITIZENSHIP	CITY Rochester	STATE/FOREIGN COUNTRY New York	COUNTRY OF CITIZENSHIP Lebanon
	POST OFFICE ADDRESS	P.O. ADDRESS 517 Richardson Road	CITY Rochester	STATE & ZIP CODE/CTRY New York 14623/USA
203	FULL NAME OF INVENTOR	FAMILY NAME Morrison	FIRST GIVEN NAME Sherie	SECOND GIVEN NAME
	RESIDENCE & CITIZENSHIP	CITY Los Angeles	STATE/FOREIGN COUNTRY California	COUNTRY OF CITIZENSHIP United States
	POST OFFICE ADDRESS	P.O. ADDRESS 258 Denslow Avenue	CITY Los Angeles	STATE & ZIP CODE/CTRY California 90049/USA
204	FULL NAME OF INVENTOR	FAMILY NAME Abboud	FIRST GIVEN NAME Camille	SECOND GIVEN NAME N.
	RESIDENCE & CITIZENSHIP	CITY Rochester	STATE/FOREIGN COUNTRY New York	COUNTRY OF CITIZENSHIP United States
	POST OFFICE ADDRESS	P.O. ADDRESS 485 Clover Hills Drive	CITY Rochester	STATE & ZIP CODE/CTRY New York 14618/USA
205	FULL NAME OF INVENTOR	FAMILY NAME Shin	FIRST GIVEN NAME Seung-Uon	SECOND GIVEN NAME
	RESIDENCE & CITIZENSHIP	CITY Los Angeles	STATE/FOREIGN COUNTRY California	COUNTRY OF CITIZENSHIP United States
	POST OFFICE ADDRESS	P.O. ADDRESS 3261 S. Sepulveda Blvd., Apt. 208	CITY Los Angeles	STATE & ZIP CODE/CTRY California 90034/USA

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statement may jeopardize the validity of the application or any patent issuing thereon.

SIGNATURE OF INVENTOR 201 <i>[Signature]</i>	SIGNATURE OF INVENTOR 202 <i>1 to Chellita Eiel</i>	SIGNATURE OF INVENTOR 203
DATE <i>4/23/98</i>	DATE <i>5/01/98</i>	DATE
SIGNATURE OF INVENTOR 204 <i>Continue</i>	SIGNATURE OF INVENTOR 205	SIGNATURE OF INVENTOR 206
DATE <i>5/12/98</i>	DATE	DATE

ROC10:121265

5

COMBINED DECLARATION FOR PATENT  
APPLICATION AND POWER OF ATTORNEY  
(Includes Reference to PCT International Applications)

JUL 16 1999

ATTORNEY'S DOCKET NUMBER  
176/60192 (6-11405-  
675/676)

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

CHIMERIC ANTIBODY FUSION PROTEINS FOR THE RECRUITMENT AND STIMULATION OF AN ANTITUMOR IMMUNE RESPONSE

the specification of which (check only one item below):

☐ is attached hereto.

☒ was filed as United States application Serial No. 09/016,743  
on January 30, 1998 and was amended under PCT Article 19 on \_\_\_\_\_  
(if applicable).

☐ was filed as PCT international application Number \_\_\_\_\_  
on \_\_\_\_\_ and was amended under PCT Article 19 on \_\_\_\_\_  
(if applicable).

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PRIOR FOREIGN/PCT APPLICATION(S) AND ANY PRIORITY CLAIMS UNDER 35 U.S.C. 119:

COUNTRY (If PCT, indicate "PCT")	APPLICATION NUMBER	DATE OF FILING (day, month, year)	PRIORITY CLAIMED UNDER 35 USC 119
United States	60/037,256	31, Jan. 1997	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
United States	60/064,018	03, Nov. 1997	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) or PCT international application(s) designating the United States of America that is/are listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in that/those prior application(s) in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior application(s) and the national or PCT International filing date of this application:

PRIOR U.S. APPLICATIONS OR PCT INTERNATIONAL APPLICATIONS DESIGNATING THE U.S. FOR BENEFIT UNDER 35 U.S.C. 120:

U.S. APPLICATIONS			STATUS (Check One)		
U.S. APPLICATION NUMBER	U.S. FILING DATE	PATENTED	PENDING	ABANDONED	
PCT APPLICATIONS DESIGNATING THE U.S.					
PCT APPLICATION NO.	PCT FILING DATE	U.S. SERIAL NUMBERS ASSIGNED (if any)			
		0			

COMBINED DECLARATION FOR PATENT APPLICATION  
AND POWER OF ATTORNEY (Continue)

JUL 16 1990

ATTORNEY'S DOCKET NUMBER  
876/60192 (6-11405-675/676)

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. (List name and registration number)  
Michael L. Goldman, Reg. No. 30,727; Dennis M. Connolly, Reg. No. 40,964;  
Peter Rogalskyj, Reg. No. 38,601

Send Correspondence to: Michael L. Goldman, Esq.  
Nixon, Hargrave, Devans & Doyle LLP  
Clinton Square, P. O. Box 1051  
Rochester, New York 14603

Direct Telephone Calls to:  
(name and telephone number)  
Michael L. Goldman  
(716) 263-1304

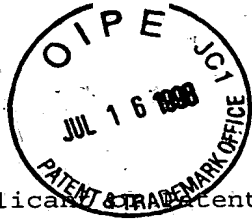
201	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
		Rosenblatt	Joseph	D.
	RESIDENCE & CITIZENSHIP	CITY	STATE/FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP
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	POST OFFICE ADDRESS	P.O. ADDRESS	CITY	STATE & ZIP CODE/CTRY
		88 Southern Parkway	Rochester	New York 14618/USA
202	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
		Challita-Eid	Pia	
	RESIDENCE & CITIZENSHIP	CITY	STATE/FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP
		Rochester	New York	Lebanon
	POST OFFICE ADDRESS	P.O. ADDRESS	CITY	STATE & ZIP CODE/CTRY
		517 Richardson Road	Rochester	New York 14623/USA
203	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
		Morrison	Sherie	
	RESIDENCE & CITIZENSHIP	CITY	STATE/FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP
		Los Angeles	California	United States
	POST OFFICE ADDRESS	P.O. ADDRESS	CITY	STATE & ZIP CODE/CTRY
		258 Denslow Avenue	Los Angeles	California 90049/USA
204	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
		Abboud	Camille	N.
	RESIDENCE & CITIZENSHIP	CITY	STATE/FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP
		Rochester	New York	United States
	POST OFFICE ADDRESS	P.O. ADDRESS	CITY	STATE & ZIP CODE/CTRY
		485 Clover Hills Drive	Rochester	New York 14618/USA
205	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
		Shin	Seung-Uon	
	RESIDENCE & CITIZENSHIP	CITY	STATE/FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP
		Los Angeles	California	United States
	POST OFFICE ADDRESS	P.O. ADDRESS	CITY	STATE & ZIP CODE/CTRY
		3261 S. Sepulveda Blvd., Apt. 208	Los Angeles	California 90034/USA

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statement may jeopardize the validity of the application or any patent issuing thereon.

SIGNATURE OF INVENTOR 201	SIGNATURE OF INVENTOR 202	SIGNATURE OF INVENTOR 203 <i>Aherie L. Morrison</i>
DATE	DATE	DATE <i>5/14/98</i>
SIGNATURE OF INVENTOR 204	SIGNATURE OF INVENTOR 205 <i>Sergan Shin</i>	SIGNATURE OF INVENTOR 206
DATE	DATE <i>6/25/98</i>	DATE

ROC10:121265

Page 3 of 3



Applicant: Joseph D. Rosenblatt, Pia Challita-Eid  
Inventor: Sherie Morrison, Camille N. Abboud, Seung-Uon Shin  
Attorney's Docket No.: 176/60192  
Serial or Patent No.: 09/016,743  
Filed or Issued: January 30, 1998  
For: CHIMERIC ANTIBODY FUSION PROTEINS FOR THE RECRUITMENT AND STIMULATION  
OF AN ANTITUMOR IMMUNE RESPONSE

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) and 1.27(d)) - NONPROFIT ORGANIZATION

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF CONCERN University of Rochester  
ADDRESS OF CONCERN 518 Hylan Building  
Rochester, New York 14627-0140

TYPE OF ORGANIZATION \_\_\_\_\_

- ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION  
☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(c)(3))  
☐ NONPROFIT SCIENTIFIC OR EDUCATION UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA (NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)  
☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) and 501(c)(3)) IF LOCATED IN THE UNITED STATES OF AMERICA  
☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA (NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code with regard to the invention entitled CHIMERIC ANTIBODY FUSION PROTEINS FOR THE RECRUITMENT AND STIMULATION OF AN ANTITUMOR IMMUNE RESPONSE by inventor(s) Joseph D. Rosenblatt, Pia Challita-Eid, Sherie Morrison, Camille N. Abboud, and Seung-Uon Shin described in

- ☐ the specification filed herewith  
☒ application serial no. 09/016,743, filed January 30, 1998  
☐ patent no. \_\_\_\_\_, issued \_\_\_\_\_

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(c) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27).

NAME The Regents of the University of California  
ADDRESS 300 Lakeside Drive, 22nd Floor, Oakland, California 94612-3550  
[ ] INDIVIDUAL [ ] SMALL BUSINESS CONCERN [X] NONPROFIT ORGANIZATION

NAME \_\_\_\_\_  
ADDRESS \_\_\_\_\_  
[ ] INDIVIDUAL [ ] SMALL BUSINESS CONCERN [ ] NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Robert R. Goodwin, Ph.D.  
TITLE OF PERSON OTHER THAN OWNER Director, Office of Technology Transfer  
ADDRESS OF PERSON SIGNING University of Rochester  
518 Hylan Building  
Rochester, New York 14627-0140\

SIGNATURE  DATE 4/21/98





Joseph D. Rosenblatt, Pia Challita-Eid  
Applicant: Patentee: Sherie Morrison, Camille N. Abboud, Seung-Uon Shin  
Attorney's Docket No.: 176/60192  
Serial or Patent No.: 09/016,743  
Filed or Issued: January 30, 1998  
For: CHIMERIC ANTIBODY FUSION PROTEINS FOR THE RECRUITMENT AND STIMULATION  
OF AN ANTITUMOR IMMUNE RESPONSE

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) and 1.27(d)) - NONPROFIT ORGANIZATION

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF CONCERN The Regents of the University of California  
ADDRESS OF CONCERN 300 Lakeside Drive, 22nd Floor  
Oakland, California 94612-3550

TYPE OF ORGANIZATION \_\_\_\_\_

- ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION  
☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(c)(3))  
☐ NONPROFIT SCIENTIFIC OR EDUCATION UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA (NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)  
☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) and 501(c)(3)) IF LOCATED IN THE UNITED STATES OF AMERICA  
☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA (NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code with regard to the invention entitled CHIMERIC ANTIBODY FUSION PROTEINS FOR THE RECRUITMENT AND STIMULATION OF AN ANTITUMOR IMMUNE RESPONSE by inventors Joseph D. Rosenblatt, Pia Challita-Eid, Sherie Morrison, Camille N. Abboud, and Seung-Uon Shin described in

- ☐ the specification filed herewith  
☒ application serial no. 09/016,743, filed January 30, 1998  
☐ patent no. \_\_\_\_\_, issued \_\_\_\_\_

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(c) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).  
\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27).

NAME University of Rochester  
ADDRESS 518 Hylan Building, Rochester, New York 14627-0140  
[ ] INDIVIDUAL [ ] SMALL BUSINESS CONCERN [X] NONPROFIT ORGANIZATION

NAME \_\_\_\_\_  
ADDRESS \_\_\_\_\_  
[ ] INDIVIDUAL [ ] SMALL BUSINESS CONCERN [ ] NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

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NAME OF PERSON SIGNING EMILY E. WALDRON  
TITLE OF PERSON OTHER THAN OWNER Technology Transfer Officer  
ADDRESS OF PERSON SIGNING The Regents of the University of California  
300 Lakeside Drive, 22nd Floor  
Oakland, California 94612-3550

SIGNATURE  DATE JUNE 26, 1998